

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of

Applicants : Ridgway et al.  
Serial No. : 10/658,218  
Filed : September 9, 2003  
Title : ELECTROOPTIC MODULATORS AND WAVEGUIDE DEVICES  
INCORPORATING THE SAME  
Docket : OPI 0008 PA/41004.16  
Art Unit : TBD

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James E. Beyer

Reg. No. 39,564

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

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UNDER 37 CFR §§ 1.56, 1.97, AND 1.98

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This Information Disclosure Statement is being filed within the period set forth in 37 CFR §1.97(b) because it is filed within three months of the filing date of a national application or within three months of the date of entry of the national stage as set forth in 37 CFR §1.491 in an international application.

Serial No. 10/658,218  
Docket No. OPI 0008 PA/41004.16

The Office has waived the requirement pursuant to 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003. Therefore, no copies of each cited U.S. patent and each cited U.S. patent application publication are enclosed, but the cited U.S. patents and the cited U.S. patent application publications are listed on PTO/SB/08A.

Respectfully submitted,  
DINSMORE & SHOHL LLP

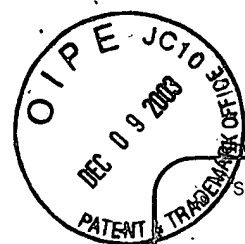
By



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PTO/SB/08A (08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/658,218
Filing Date	September 9, 2003
First Named Inventor	Richard Ridgway
Art Unit	
Examiner Name	
Attorney Docket Number	OPI 0008 PA/41004.16

Sheet 1 of 2

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 5,220,627	06-15-1993	Kawano et al.	
		US- Pub. 20030174982	09-18-2003	Ridgway et al.	
		US- Pub. 20030169958	09-11-2003	Ridgway et al.	
		US- Pub. 20030059189	03-27-2003	Ridgway et al.	
		US- Pub. 20030026572	02-06-2003	Ridgway et al.	
		US- 5,751,867	05-12-1998	Schaffner et al.	
		US- 5,533,151	07-02-1996	Leonard	
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**FOREIGN PATENT DOCUMENTS**

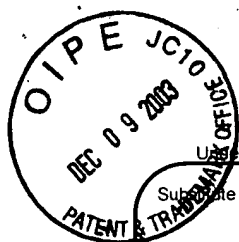
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		GB-A-2236402	04-03-1991	GEC-Marconi Ltd.		
		EP-0513919	11-19-1992	van der Tol, Johannes		

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Examiner Name	
Attorney Docket Number	OPI 0008 PA/41004.16

Sheet	2	of	2
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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		CHEN ET AL., High-Frequency Polymer Modulators with Integrated Finline Transitions and Low V, IEEE Photonics Technology Letters, Vol. 11, No. 1, January 1999, pg. 54-56	
		DR. H.F. BULTHUIS, Analysis of Impedance and Velocity Matched High-Speed Traveling Wave Electro-Optic Modulators, Concept to Volume b.v., April 29, 1998, Application note A1998002, pg. ii - 12	

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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